

PERFORMANCE PLANNING AND REVIEW FOR SUPERVISORS

MANAGEMENT IN STATE GOVERNMENT

Comprehensive Public Training Program (CPTP)

*Sponsored by the Governor's Office, Division of Administration
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ORIGIN OF PERFORMANCE PLANNING AND REVIEW

Performance Planning and Review, hereinafter referred to as PPR, was instituted by the Department of State Civil Service on July 1, 1997. Prior to that date, the evaluation system that was being used in classified state service was a once-a-year activity of rating employees either *satisfactory* or *unsatisfactory*. That type of evaluation system was not conducive to establishing good communication between supervisors and employees. The Department of State Civil Service realized there was a need for a change. Thus, PPR was born.

PURPOSE OF PERFORMANCE PLANNING AND REVIEW

As a supervisor, it is your responsibility to develop your employees. If you plan and review the work of your employees using the steps established in the PPR process, you will do just that. Your effectiveness and contribution to the agency also improves through the PPR process. Planning and reviewing the work of your employees will enable you to make sure that your staff is doing their part to carry out all of the goals and the mission of your agency. It is your responsibility, as a supervisor, to communicate with your employees regarding what their roles are in the mission of the unit as well as the agency as a whole.

The purpose of PPR is to improve two-way communication and feedback between you and your employees. This improved communication builds accountability—making sure that what is supposed to be accomplished by state employees is really accomplished.

STEPS IN PERFORMANCE PLANNING AND REVIEW

The PPR process involves three steps:

- Performance planning
- Continual performance observation, documentation and feedback--*Communication*
- Performance review, rating and counseling



TIMING OF PERFORMANCE PLANNING AND REVIEW



Everything concerning PPR revolves around one date, the *anniversary date* of the employee. Anniversary date is defined in the Civil Service Rule 6.14 in the following manner:

“When a new employee has been continuously employed in the classified service, without a break in service of one or more working days, for a period of six months, he becomes eligible for and may be granted a merit increase provided that the appointing authority has determined that his performance merits such an award. This is known as the employee’s first merit eligibility date and will always be known, thereafter, as the employee’s anniversary date, provided there is no break in service.”

It is not your job to determine what an employee’s anniversary date is. However, it is your job to find out what that date is! Your Human Resources Office can tell you what an employee’s anniversary date is. Also, it is important to note that anniversary date has no direct link to the date that employee attains permanent status.

POINTS ABOUT PERFORMANCE PLANNING AND REVIEW

PPR can be found in Chapter 10 of the Civil Service rules. The PPR rules pertain to all employees who are in the classified service. However, even supervisors who are in the unclassified service should still be aware of the PPR rules because they may be supervising classified state employees.

PPR and disciplinary actions are not the same thing. PPR rules are found in Chapter 10, while disciplinary action rules are found in Chapter 12 of the Civil Service rules.

A “Poor” or “Needs Improvement” PPR rating is not a disciplinary action. Even if an employee receives a “Poor” or “Needs Improvement” on his re-rating, it still does not result in an automatic disciplinary action. However, these types of PPR ratings and re-ratings could certainly lead to a disciplinary action.

Merit increases are NOT automatic. Even if an employee receives a “Meets Expectations” or better on his overall PPR rating, it does not mean that the employee will automatically receive a merit increase. Merit increases are always at the discretion of the appointing authority.

THE PPR TIMELINE

As far as the PPR timeline goes, it is important for supervisors to remember that all timelines involving the PPR process revolve around the employee's *anniversary date*. The Civil Service rules on PPR mention many deadlines for various activities involving PPR. Please resist the temptation of trying to memorize every deadline for every scenario mentioned in the Civil Service rules on PPR. It can be quite overwhelming. Instead, concentrate on the deadlines that are essential for supervisors to know, which are the deadlines for conducting planning sessions, rating sessions, and re-rating sessions. A simple formula for supervisors to remember regarding the deadlines for planning, rating, and re-rating sessions can be found below:



Simple PPR Formula (revolving around the employee's anniversary date)

30

Plan

60

Rate

60

Re-rate (if necessary)

Simply translated, the formula above means you have 30 days to plan, 60 days to rate, and 60 days to re-rate (if necessary). This formula is a continuous cycle. Later in this book, the deadlines in this formula will be clarified and discussed in more detail.

PPR is a continuous cycle



ANNOTATED VERSION OF THE PPR RULES (CHAPTER 10 OF THE CIVIL SERVICE RULES)

PPR Planning



Rule 10.5 makes it clear that the Rating Supervisor shall

- conduct a planning session at least once per rating period
- provide written expectations and discuss them with the employee
- sign and date the planning form (on page 7 of the PPR form)
- and have the employee sign and date the form
- the employee shall receive a copy of the form

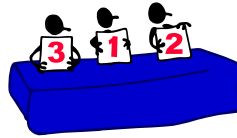
**Rule 10.5 further states when the planning session shall occur.
That is, no later than 30 days after**

- the appointment of a new employee
- anniversary date of a current employee, and
- movement of an employee into a new position with significantly different duties

Rule 10.5 also says a planning session may be conducted

- when a new supervisor enters a work unit
- when expectations change or
- anytime the supervisor deems appropriate

PPR Rating



Rule 10.6 makes clear what you must do to create an official rating. It says the Rating Supervisor shall

- sign and date the completed document (on page 1 of the PPR form)
- discuss the rating with the employee, and
- provide documentation to support any factor rating “Needs Improvement” or “Poor”
- present the form to the employee to be signed and dated, and
- give the employee a copy of the form

Rule 10.6 also makes clear when the rating shall occur.

- For a new employee, the rating must occur within 60 calendar days before or on the first anniversary date
- For a current employee, the rating must occur within 60 calendar days before or on the anniversary date each year

PPR Un-Rated Rating

Rule 10.11 provides that an employee who is not rated in accordance with the rules shall have an official rating of “**Un-Rated**” on the day **after** the employee’s **anniversary date**.

Consequences of “Needs Improvement” or “Poor” PPR Rating

Rule 10.10 tells us what shall—and shall not—happen to an employee who has earned a “Needs Improvement” or “Poor” PPR rating. It

- makes clear that such a rating is not a disciplinary action
- states that the employee shall not receive a merit increase
- states that the employee shall not receive a promotion
- states that if the employee is probational, he shall not receive permanent status
- states that the employee shall not be detailed to a higher level position except as approved in advance by the Director of Civil Service

PPR Re-Rating



Rule 10.7 also addresses employees who receive an overall PPR rating of “Poor” or “Needs Improvement”. It says

- they shall be re-rated
- the re-rating deadline shall be the date that falls 6 months after the employee’s anniversary date
- the re-rating may be given up to 60 calendar days prior to or on the 6 month re-rating due date

Note: If you do find yourself having to officially re-rate an employee, you should review the planning document to see if it is sufficient to cover the remainder of the rating period. If not, a planning update might be in order.

Failure to Re-Rate Compliantly

Rule 10.11 provides that if you do fail to officially re-rate an employee, his official re-rating will be “Un-Rated” as of the **day** of the re-rating deadline date.

Meets Requirements, Exceeds Requirements, Outstanding or Un-Rated Re-Ratings

Rule 10.7 provides that employees who are re-rated as “Meets Requirements” or better, may be considered, as of the date of the official re-rating, for all the things they were not eligible for with the “poor” or “Needs Improvement” rating. An employee who was not compliantly re-rated and now has an official Un-Rated rating, is also eligible for them.

Next Official Rating

The employee must next officially be rated in the 60 days prior to or on his next anniversary date.

Exercise # 1: PPR Timeline Exercise

Scenario 1: Joseph Smith was hired on March 3, 2003

1) If Mr. Smith has had no break in service, what is his anniversary date?

ANSWER: _____

2) What is the deadline date to conduct his first planning session?

ANSWER: _____

3) What is the range of dates that you must conduct his first rating session?

ANSWER: _____

4) What is the deadline date to conduct his next planning session?

ANSWER: _____



Exercise # 1: PPR Timeline Exercise (Continued)

Scenario 1: Joseph Smith was hired on March 3, 2003

5) If Mr. Smith received an overall “Poor” or “Needs Improvement” on his first PPR rating, what is the range of dates that you must conduct his re-rating session?

ANSWER: _____

6) What is the range of dates that you must conduct his next regular rating session?

ANSWER: _____



Exercise # 1: PPR Timeline Exercise (Continued)

Scenario 2: Susan Thompson was hired on January 24, 2002

1) If Ms. Thompson has had no break in service, what is her anniversary date?

ANSWER: _____

2) What is the range of dates that you must conduct her next rating session? (When figuring out this range of dates, you are figuring this out in current time, from today's date)

ANSWER: _____

3) What is the deadline date to conduct her next planning session? (When figuring out this deadline date, you are figuring this out in current time, from today's date)

ANSWER: _____



The Performance Planning and Review Form (S.F. 15) And Associated Rules

The cover sheet of the S.F. 15 provides information for completing the form.

The first time you will use this for a new employee is when you conduct the first planning session. Then, when you prepare to rate, you will go back to your original planning document, add your performance comments and ratings, and render your official rating. You start over again with a new, blank document for the next planning session, and the cycle continues.

Note: It is very important to write down the date that the planning session took place and the date the rating session took place in the spaces provided on the PPR form.

Rule 10.1 states that each department

- will use this form as approved by the Director of Civil Service
- may make changes to the form, the system or the instructions with the Director's approval

Note: The form you are required to use at your agency may vary somewhat from the standard form. Be sure to use the form your agency uses.

Rule 10.2 makes it clear

- that the Appointing Authority is to designate a Rating Supervisor for each employee
- it is generally the person who, in the opinion of the Appointing Authority, is in the best position to observe and document the employee's performance
- failure to appoint a Rating Supervisor, to plan or to rate, is a violation of these rules

Note: It doesn't matter what your classified employee's employment status is—provisional, restricted, job appointment, part-time, or in DROP—these rules apply!

At the bottom of the cover sheet is a chart showing the Definitions of Ratings to be used in evaluating Individual Performance Factors. For example, "Poor" is defined as "Fails to Meet Requirements Consistently and/or by a Wide Margin." This will be used later when you actually rate performance.

Page 1 of PPR Form — Key Points

- Complete all information requested. You will be required to fill out information such as your employee's name, anniversary date and Employee ID number. For most of you, the Employee ID number will be the unique "personnel number" assigned to your employee in the ISIS HR automated system.
- If you are using the form for a planning session, indicate if this is the Annual (or First) Planning Session or it is a Planning update.
- The spaces provided next to Planning Session are for the date the session is conducted.

Tip: Tell your employees to feel free to request a planning update when they feel it's necessary. This lets them know you're interested in their input and gives them ownership in the process.

- If you are now using the original planning document to rate your employee, check the appropriate Rating Session-Reason box and put the "From" and "To" dates in the spaces provided. There are no rules that dictate how these dates should be indicated, as long as these dates are logical.
- However, for a new employee, whose First Rating you're conducting, you may wish to put the "from" date as the hire date and the "to" date as the first merit eligibility date, or anniversary date, regardless of when, within the windows of opportunity, you did the planning and rating.
- The same applies for the annual rating of a current employee. You may put the "from" date as the date after the last anniversary date and the "to" date as the current anniversary date.
- Your agency may prefer a standard procedure such as this. If so, do as they ask.
- The Re-Rating will be checked if you are re-rating an employee who received a "Needs Improvement" or "Poor" rating.
- You would have prepared a new planning document or updated the old one.
- At re-rating time, you would re-rate him for the time *since* the "Needs Improvement" or "Poor" rating.
- Check "Other" if you are conducting an unofficial close-out or informal review.
- The Official Review by Reviewer section of the form is to be completed only by the Designated Reviewer at your agency, should the employee request a review.

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- The large box on the remainder of the page is for documenting the overall rating score at the end of the Rating and Review session, and for affixing signatures at the conclusion of the session.
- Note the designation for “Un-Rated.” **Rule 10.4** provides that employees not receiving official ratings shall receive an “Un-Rated” rating. This rule states that the rating shall be indicated on the overall PPR form, and that the employee shall be notified of the “Un-Rated” rating.
- Even if you rate your employee, assign a rating of “Meets Requirements” or another rating, and then it is determined it was not an official rating as defined in the rules—the rating must be changed to “Un-Rated.” *(the following are considered to be fatal flaws and will result in an “Un-rated” rating: PPR not being done at all, PPR rating done late, signatures dated after anniversary dates, or the employee not being rated on all mandatory factors.)*
- If this happens, you must cross out the original rating, check off “Un-Rated”, indicate the Date Changed, initial and have the employee initial. Also, you should give a copy of this changed form to the employee. **Rule 10.6 and 10.8** define what constitutes an official rating.
- Indicate the “Un-Rated” Reason in the appropriate space if recording an “Un-Rated” rating.
- The Rating Supervisor should sign and date the form and print/type name.
- The Rating Supervisor should provide his/her identification number.
- The Rating Supervisor should have the employee sign and date the form at the conclusion of the rating session.
- **Rule 10.8** states that a rating that complies with Civil Service Rules **10.6 and 10.7** becomes official when a copy of the PPR form is given or mailed to the employee.
- If an employee is not available, such as in the case of an employee out on extended leave, the Rating Supervisor should mail the PPR rating form on or before the anniversary date.

Tip: If you have to mail a PPR rating form to an employee—get a “Certificate of Mailing” from the post office. This will be your documentation that you mailed the form and when. Attach copies of this certificate to all copies of the PPR rating form.

- **Rule 10.9** makes it clear an employee cannot prevent a planning or rating session, or planning, rating or re-rating form from becoming official by refusing to sign the form.
- The Rating Supervisor should simply note on the form that the employee refused to sign.

Tip: Take two copies of the completed PPR form into the rating or planning session. Write in on both copies, any changes that you agree to make as a result of the session. Initial and date each hand-written change. Sign and date both copies, and have the employee sign and date both copies. Then, you both will leave the session with copies of the PPR form.

- If the employee's signature does not appear on the form, it is important to indicate at the bottom of the page the date the copy was given or mailed to the employee. Make sure the employee's copy has this date noted as well.
- Page 1 of the PPR form provides a space for a Rating Supervisor to indicate his recommendation regarding a merit increase for the employee, if the employee is eligible to receive one. Another space is provided on Page 1 for a Rating Supervisor to indicate his recommendation regarding the attainment of permanent status for the employee, if the employee is not permanent yet and is eligible for such status.

Pages 2 through 7 of PPR Form — Key Points

- The actual “working” portion of the PPR form begins on page 2.
- Pages 2 through 7 are where the Rating Supervisor will provide to the employee, at planning time, the performance expectations for the employee in the upcoming performance period.
- At rating time, the performance comments about how well the employee has met expectations will appear here.
- **Rule 10.3** provides that each employee will be rated on six required performance factors. On this form, they are the first six factors.
- Note that the “Applies to Job” space is already checked for these first six factors.
- Examples of “benchmark” comments are provided for each factor.

Page 7 of PPR Form - Performance Planning Session-Signatures- Key Points

- **Rule 10.5** requires that the employee and the Rating Supervisor both sign the planning document.
- At the bottom of the page is where those signatures are to be affixed, documenting that the session occurred.
- If the employee refuses to sign, simply make a notation on this portion of the form.

Page 8 of PPR Form - Supplemental Page—Key Points

- This page is to be used for additional Performance Expectations or Performance Comments, etc. that there was no space for elsewhere on the form.

Page 9 of PPR Form - Calculation Page—Key Points

- This page is to be used for calculating the overall score.

Page 10 of PPR Form - Review by Designated Reviewer —Key Points

- This page should only be completed by Designated Reviewers responding to a compliant request for review by an employee.
- Instructions are provided for completion of this form.
- Spaces are provided at the bottom of this page for the Designated Reviewer, Rating Supervisor and Employee to sign at the conclusion of the Review.

ORIGINALS OF COMPLETED PPR FORMS ARE TO BE KEPT IN THE HUMAN RESOURCES OFFICE.

THE SUPERVISOR AND EMPLOYEE SHOULD EACH MAINTAIN A COPY OF COMPLETED PPR FORMS.

COMPLETED PPR FORMS ARE CONFIDENTIAL DOCUMENTS AND SHOULD NOT BE MAINTAINED IN PUBLIC ACCESS FILES.



STEP 1: PERFORMANCE PLANNING

A PPR planning session must take place no later than 30 days after the appointment of a new employee, the anniversary date of a current employee, or the movement of an employee into a new position with different duties.

Tip: If you fail to do a planning document in the prescribed time period, you have already violated a Civil Service rule. Don't compound the situation by not doing a planning document at all. It is a good idea to go ahead and do the planning document as soon as possible.

Brainstorm Expectations...

Sit down with the position description, policies, strategic plan or other pertinent documents. Think of the things you would like this employee to change, accomplish, enhance or learn during the next year. Develop a list of these items to go over with your employee.

Tips:

Look at the position description (SF-3) and make sure it is up-to-date. If not, this is an excellent time to revise this important document.

You can even give your employee a blank PPR form and have him/her develop planning expectations for himself/herself. Then the two of you can sit down, discuss them and tweak them until you are satisfied with them.

Planning expectations must be job-related. Discuss the job duties. Then, brainstorm a list of things you want the employee to do during the rating period. What are your expectations for the employee and what are the employee's expectations? This planning session is an opportunity for you and your employee to talk about work. The more ownership your employee has in this process, the more productive the session is likely to be.

Also, **expectations should be based on the individual employee's performance**, unless this is a new employee with whose work you are not familiar.

Expectations are written to do two things—to reinforce positive performance, and to change or improve performance that is less than acceptable; that is, to encourage the employee to continue to do well or even better, what he is already doing well. Also, to point out how you wish the employee to improve in those areas he needs to improve. Expectations should address elements so significant to the job that how well an employee meets or does not meet the expectations should be measured in the PPR.

Examples of expectations are:

- Prepare the budget request accurately by November 1.
- Attend classes to learn how to use Microsoft Excel and then apply what you have learned in your job.
- Respond to telephone or e-mail inquiries from your agencies within 24 hours.
- Make 5 home visits each week and submit reports of those visits within the deadlines provided in the office policy.
- Concentrate on helping staff get what they need when they need it rather than rigidly enforcing policies written for your convenience; maintain appropriate relationships with and respect for the public and clients rather than becoming too informal.



Expectations do not have to be standards. Expectations can simply be what you want the employee to do. Write down the expectations you decide on so they can be written in the Performance Expectations blocks of the form later.

Expectations must be realistic, and attainable. Is it reasonable to expect an employee in this job to do this? Is it too demanding or not demanding enough?

Oftentimes in a planning or rating and review session, employees will press a supervisor for examples of what performance or behavior would need to be achieved in order to earn a higher rating. Do not feel forced to do this. You can certainly give examples of what you would consider to warrant a higher rating if you wish, but make it clear to the employee that he will be rated on the whole job, not just the specific things that have been mentioned in the planning document.

The planning document is only one document that adds to what the employee already knows about doing the job. He has been given many other things that make it clear what is expected of him in the job. It is possible the employee will meet or exceed all the expectations that appear on the planning document, but still receive low ratings if the normal requirements of the job have not been met. Make it clear in the planning session he will be held accountable for all parts of his job, not just the written expectations in the planning document.

Expectations should not be written for perfection unless perfection is the only thing that is acceptable, as in the case of a nurse administering medicine. Make it clear to your employee that the expectations are written at the 3—Meets Requirements—level. To get a 4 or a 5, one must do better.

Expectations must also be specific, so that the employee knows exactly what he or she is to do. This does not mean that you have to write down everything the employee is to do on the job. This is an opportunity to make clear to each employee what his or her job is. And the expectations that you do include should be specific.

Tip: Ask yourself if the expectation will be just as clear at rating time as it is now, to both you and the employee. If not, maybe you need to be more specific, or clearer!

Expectations should be measurable. Ask yourself—how will I document and measure this throughout the year, as well at rating time? Also, you may need to set a deadline or timeframe for the employee when you write the expectation.

Different people doing the same job may have different expectations. For example, a Corrections Lieutenant on death row will not have the same expectations as a Corrections Lieutenant at the horse stable. A Human Resources Manager responsible for the performance planning and rating program at an agency will have different expectations than the Human Resources Manager in the cubicle next door who is responsible for recruiting and hiring activities at that same agency.

The SMART method for writing expectations

Is it*S*pecific?
Is it..... *M*easurable?
Is it..... *A*ttainable?
Is it..... *R*ealistic?
Is it..... *T*imed?

The planning session may require more time for a new employee, because he or she will have a lot more to learn about the job. For a new employee, it is possible the planning expectations will be more generic than they would be for an employee with whose performance—whose strengths and weaknesses-- you are familiar.

Tip: If you supervise a large staff or have a lot of turnover, you may wish to develop a generic planning document that you use for all new employees. Then, at the next planning session, you can prepare a planning document that focuses on the strengths and weaknesses of the particular employee, with whose performance you will then be familiar.

You don't have to write down everything you expect from your employee. For example, if one employee knows that work begins at 8:00 a.m. and is always there on time, it would be unnecessary to write that down as an expectation. However, an employee who has problems with tardiness would probably need a written expectation to be at work at 8:00 a.m. as a clear written requirement that they will be rated on at the end of the period.

For many employees, there should be a very clear link between the employee's expectations and the strategic plan for the agency. How can the organization accomplish its mission if the employee is not contributing to it? We recommend you get a copy of your agency's strategic plan. Identify how and where your employee's job and performance fit into the plan. Share this information with the employee; point out how his performance is crucial to the mission of the department. This further validates for the employee that he is important to the organization. Then, write expectations that support this.

One more thing—oftentimes agencies will require that you include “core” or “required” expectations for your employees. They may require that, for all employees in certain job classifications or even in the entire agency, you include an expectation that has already been written for you, for one or more performance factors. There is nothing wrong with this; many agencies have sound reasons for doing so. However, remember that expectations are also written based on the strengths and weaknesses of the individual employee and how well he is doing the job. Be sure to add employee-specific expectations that address the individual employee.



Exercise # 2: PPR Writing Expectations Exercise

POSITION # 1: MAINTENANCE REPAIRER 1

(New Employee)



SCENARIO:

Will Fixxitt was just hired into a Maintenance Repairer 1 position at your agency and you are his direct supervisor. You are getting ready to conduct Will's first PPR planning session and have to develop written performance expectations for that planning session. Develop Will's performance expectations based on the information provided below.

Will's Job Description and Hours:

- Make minor repairs to the interior and exterior of buildings
- Make minor repairs to office furniture
- Make minor repairs to small lawn mowers, chainsaws, and other lawn equipment
- Clean and replace filters on air conditioners in buildings
- Start, operate and check for safety on all equipment once repaired
- Work hours are 8:00 a.m. to 4:30 p.m., Monday through Friday
- Work with other staff to help them with repairs when needed
- Learn the maintenance information and be able to repair new equipment as it comes in
- Repair equipment in a timely manner and notify supervisor as soon as equipment is ready
- Prioritize repair projects to ensure efficiency throughout the work day

Performance Planning and Review for Supervisors _____

Please write performance expectations for each factor listed. Develop the content of the performance expectations from the information that is provided in the scenario.

PERFORMANCE EXPECTATIONS:

Work Product – The quality and quantity of work produced by the employee.

Dependability – Being where he/she should be and doing what he/she is supposed to do.

Cooperativeness – Working with people.

Performance Planning and Review for Supervisors _____

Please write performance expectations for each factor listed. Develop the content of the performance expectations from the information that is provided in the scenario.

PERFORMANCE EXPECTATIONS:

Adaptability – Adjusting to change.

Communication – Giving and receiving information.

Daily Decision-Making / Problem-Solving – Thinking on the job.

Exercise # 2: PPR Writing Expectations Exercise (Continued)

POSITION # 1: MAINTENANCE REPAIRER 1

(Same employee after 1st. PPR rating) (6 months under your supervision)



SCENARIO:

Will Fixxitt has been working for your agency in a Maintenance Repairer 1 position for six months and has been under your supervision for that entire time period. You have already conducted Will's first PPR rating session and you are getting ready to conduct Will's PPR planning session for his next rating period and have to develop written performance expectations for that planning session. Develop Will's performance expectations based on the information provided below.

Will's performance through his first six months:

- Will has made the necessary repairs to buildings, furniture, and equipment as needed and has done a neat and thorough job. However, Will works rather slowly and takes longer to repair items than the other Maintenance Repairers on staff.
- Will usually arrives to work on time, but has been about five to ten minutes tardy an average of once every two weeks.
- Will has been friendly, but has been reluctant to help other co-workers when he is finished his own work.
- Will has been great with learning the maintenance information of new equipment as it comes in. However, he sometimes complains about the frequency, at which, new equipment is coming in.
- Will has kept you updated as to the progress of his projects and has notified you when he is finished with a project. However, he has not communicated with co-workers to share tips on better ways to repair things as he discovers them.
- Will usually prioritizes projects well, but tends to work on the projects that he likes to work on first, sometimes resulting in a delay of the completion of more important projects.

Performance Planning and Review for Supervisors _____

Please write performance expectations for each factor listed. Develop the content of the performance expectations from the information that is provided in the scenario.

PERFORMANCE EXPECTATIONS:

Work Product - The quality and quantity of work produced by the employee.

Dependability - Being where he/she should be and doing what he/she is supposed to do.

Cooperativeness - Working with people.

Performance Planning and Review for Supervisors _____

Please write performance expectations for each factor listed. Develop the content of the performance expectations from the information that is provided in the scenario.

PERFORMANCE EXPECTATIONS:

Adaptability - Adjusting to change.

Communication - Giving and receiving information.

Daily Decision-Making / Problem-Solving - Thinking on the job.

Exercise # 2: PPR Writing Expectations Exercise (Continued)

POSITION # 2: SECRETARY 2

(New Employee)



SCENARIO:

Iva Gotit was just hired into a Secretary 2 position in your agency and you are her direct supervisor. You are getting ready to conduct Iva's first PPR planning session and have to develop written performance expectations for that planning session. Develop Iva's performance expectations based on the information provided below.

Iva's Job Description and Hours:

- Screen all telephone calls, visitors, and incoming correspondence.
- Compose and type routine correspondence independently.
- Schedule appointments without prior clearance.
- Perform administrative functions such as payroll preparation, travel reports, supply requisitions, etc.
- Work hours are 8:00 am to 4:30 pm Monday through Friday.
- Work with staff members to arrange conferences, meetings and prepare background materials as needed.
- Learn to use Microsoft Word and Excel.
- Greet and serve all customers with a smile and a courtesy title. Ask how you may assist each.
- Respond to requests for information concerning office procedures and determine to whom they should be directed.

Performance Planning and Review for Supervisors _____

Please write performance expectations for each factor listed. Develop the content of the performance expectations from the information that is provided in the scenario.

PERFORMANCE EXPECTATIONS:

Work Product - The quality and quantity of work produced by the employee.

Dependability - Being where he/she should be and doing what he/she is supposed to do.

Cooperativeness - Working with people.

Performance Planning and Review for Supervisors _____

Please write performance expectations for each factor listed. Develop the content of the performance expectations from the information that is provided in the scenario.

PERFORMANCE EXPECTATIONS:

Adaptability - Adjusting to change.

Communication - Giving and receiving information.

Daily Decision-Making / Problem-Solving - Thinking on the job.

Exercise # 2: PPR Writing Expectations Exercise (Continued)

POSITION # 2: SECRETARY 2

(Same employee after 1st. PPR rating) (6 months under your supervision)



SCENARIO:

Iva Gotit has been working for your agency in a Secretary 2 position for six months and has been under your supervision for that entire time period. You have already conducted Iva's first PPR rating session and you are getting ready to conduct Iva's planning session for her next rating period and have to develop written performance expectations based on the information provided below.

Iva's performance through her first six months:

- Iva has screened phone calls, visitors and all incoming correspondence in a timely manner. However in her haste to work quickly, Iva sometimes routes the call, individual or correspondence to the wrong staff.
- Iva has always been on time for work and there has not been a leave problem. However, she does tend to take long lunch breaks. On three occasions, her long lunches have resulted in visitors having to wait to be served.
- Iva, for the most part, has been friendly to other employees and walk-in customers, but she tends to be a little rude when there is a line waiting on her for assistance.
- Iva has become proficient in her use of Microsoft Word and serves as a resource for others with this, but she has not taken the initiative to learn Excel.
- On several occasions Iva has forgotten to communicate information you gave for her to share with the other clerical staff. This prompts duplication of effort on your part in answering questions.
- Iva usually uses good judgment in determining to whom and when to route request for information. However, she sometimes tends to want to give information herself when she is not the most knowledgeable and appropriate person to do so.

Performance Planning and Review for Supervisors _____

Please write performance expectations for each factor listed. Develop the content of the performance expectations from the information that is provided in the scenario.

PERFORMANCE EXPECTATIONS:

Work Product - The quality and quantity of work produced by the employee.

Dependability - Being where he/she should be and doing what he/she is supposed to do.

Cooperativeness - Working with people.

Performance Planning and Review for Supervisors _____

Please write performance expectations for each factor listed. Develop the content of the performance expectations from the information that is provided in the scenario.

PERFORMANCE EXPECTATIONS:

Adaptability - Adjusting to change.

Communication - Giving and receiving information.

Daily Decision-Making / Problem-Solving - Thinking on the job.

So You Failed to Plan Timely....What Do You Do???



Sometimes circumstances occur that are out of your control, and you realize the deadline date for a planning session has passed. What do you do? The planning rule has been violated already, so do you just forget about planning? You probably know the answer to this one already. It's generally a good idea to prepare the planning document, and conduct the session as soon as possible. This way, you've shown a clear intent to do the right thing. More importantly, you've communicated to your employee what your expectations are and have opened the lines of communication for discussion and two-way feedback regarding performance throughout the remainder of the rating period. There are some exceptions to this, so we recommend you contact your Human Resources office for guidance if you fail to plan within the window of opportunity.

Written Performance Standards

Your agency may also have or require written performance standards for some or all positions. Written performance standards are more specific, precise measurements of how well someone does his/her job. For examples, standards might say: types correspondence with no errors, always answers the phone before the third ring, is at work 90% of the time, orders supplies within 3 days of request, and writes reports according to standard format with no spelling errors.

Most jobs can be quantified, but for some it is more difficult than for others. Use your judgment about how much work you want to put into measuring performance so precisely. Existing performance standards may be written as expectations, but the expectations you write do not have to be standards.

Employees performing exactly the same tasks should have the same standards though not necessarily the same expectations.

Performance Factors

In the planning session, after you and your employee have brainstormed expectations, look together at the job factors beginning on Page 2 of the form. You will notice that a definition is provided next to each performance factor. It is important to pay attention to these definitions. They will guide you when writing expectations and later, when rating performance.

Decide which expectations go with each factor. Write new expectations for factors that you might have forgotten. There is a space under each factor on the form to write your expectations for that rating period and for that factor. Be sure to write the expectations on the form under the appropriate factor. Now, let's go over some of the factors on the form.

Six Required Performance Factors

The first six factors are required for all jobs.

Factor 1 is Work Product.

Work Product is the quality and quantity of work produced by the employee.

To help you determine which expectations go with each factor, there are examples on the form of performance comments that address the factor. These examples also serve as benchmarks later, when you rate your employee. For example, an employee who consistently achieves exceptional results and produces work that is accurate and thorough should probably receive a higher rating of 3, 4 or 5 on Work Product. An employee who fails to achieve desired results or who usually works too slowly should probably receive a lower rating of 1 or 2 on Work Product. When it is time to rate the employee, you cannot look at these behaviors in isolation. You have to consider everything that has to do with the work product—not just the expectations listed.

Examples of expectations that you could write in the performance expectations space for Work Product on the form are

- Demonstrate understanding of the impact of your work on others; complete projects with almost no errors.
- Complete nearly every work product on the due date.
- Answer as many calls as you can without routing calls to others.
- You are to develop an organized filing system by August 1, so that anyone in the office can retrieve information in your absence.

Factor 2 is Dependability.

Dependability is being where he or she should be and doing what he or she is supposed to do.

Attendance is a large part of this factor, but it is not all that is meant by Dependability. Attendance will be a part of other factors as well. If the employee is not at work, that will impact most of the factors on the form.

Note: There are classes offered through the Comprehensive Public Training Program that address handling employee attendance problems.

An employee who consistently can be counted on to take care of work-related commitments should probably receive a higher rating of 3, 4 or 5 on Dependability. An employee who frequently misses deadlines and/or requests time off with little advance notice should probably receive a lower rating of 1 or 2.

Examples of expectations that you could write for Dependability on the form are

- Report to work in time for roll call, except in emergency situations.
- Staff duty station for assigned shift, except during official break times.
- Comply with the Department attendance policy at all times.
- Attend scheduled meetings and arrive on time.
- Be accessible, respond quickly to requests for information and assistance and demonstrate good use of available resources.
- If you find you are unable to submit your reports by the due date, and in accordance with guidelines, notify your supervisor as soon as you become aware of problems.

Factor 3 is Cooperativeness.

Cooperativeness is simply working with people.

An employee who readily offers to help other employees and who follows instructions without unreasonable complaining or arguing should probably receive a higher rating of 3, 4 or 5. An employee who frequently gets involved in work place gossip or unproductive conflict with others or who ignores or puts down others should probably receive a lower rating of 1 or 2.

Examples of expectations that you could write for Cooperativeness on the form are

- Maintain a supportive and team like atmosphere among co-workers.
- Interact with others respectfully and courteously.
- Contribute to productivity by helping co-workers when possible.
- Help maintain a friendly and helpful atmosphere at work.
- Keep others involved and informed.
- Will not complain about others or assignments.
- Will not be surly or abrupt with others.

Factor 4 is Adaptability.

Adaptability is adjusting to change.

An employee who changes routines to deal with unexpected problems and who accepts and applies constructive criticism should probably receive a higher rating of 3, 4 or 5. An employee who does not demonstrate effort or ability to learn new tasks should probably receive a lower rating of 1 or 2 for Adaptability.

Examples of expectations you could write for Adaptability are

- Expect changes in the job and accept them without many complaints.
- Make an honest effort to quickly learn new responsibilities.
- View problems as part of the job and actively participate in their solution.
- Accept constructive criticism without complaining or making excuses.
- Let your supervisor know when you have too little or too much work to do.
- Effectively adapt work habits in new or unexpected circumstances.

Factor 5 is Communication.

Communication is giving and receiving information.

An employee who consistently communicates clearly when speaking or writing and who listens carefully when spoken to should probably receive a higher rating of 3, 4 or 5 for Communication. An employee who frequently uses incorrect grammar, punctuation or spelling when accuracy is important or one who gives incomplete information should probably receive a lower rating of 1 or 2.

Examples of expectations that you could write for Communication are

- Listen carefully to others, do not ignore them.
- Choose words carefully and speak clearly and respectfully to others, so they can understand you the first time you say something to them.
- Notify your supervisor when you become aware of problems with one of your cases that may impact your handling of the case.
- Continue to notify your subordinates as soon as you become aware of changes to department policy that impact their jobs.
- Make sure phone messages you take are correct.
- At all times be certain that critical information is communicated clearly and directly; follow up when appropriate.
- When receiving instructions or feedback about job assignments, refrain from interrupting with comments and questions—save valid questions and comments until after your supervisor has finished talking.
- Continue your excellent rapport with your clients and customers.

Factor 6 is Daily Decision-Making / Problem-Solving.

Basically, this factor means thinking on the job.

An employee who considers ideas from various sources and chooses the best solution should probably receive a higher rating of 3, 4 or 5. An employee who needs help or direction from his or her supervisor for very routine or basic tasks should probably receive a lower rating of 1 or 2.

Examples of expectations you could write in the space for Daily Decision-Making and Problem Solving are

- Solve payroll problems independently without repeatedly requesting assistance.
- Consult your training manual, policy and procedures manual, and other resources you've been given, before you ask for help.
- Notify Security immediately when threats occur.
- Looks for better ways of monitoring legislation.
- Recognize that there are times you will have to request assistance in getting a task completed, and do not be reluctant to ask.
- Exercise good judgment in interrupting meeting to deliver messages to me or another meeting attendee, depending on who the caller is and the urgency of the call.

Additional Performance Factors

The additional factors may or may not apply to the employee's job. You and your employee should determine whether each additional factor applies to his or her job. During the planning session, you must mark an "X" in the appropriate box on the form for each factor that applies to the employee's job. The "X"s are already on the form for the six required factors, but you will have to mark them for all other factors that you will rate your employee on.

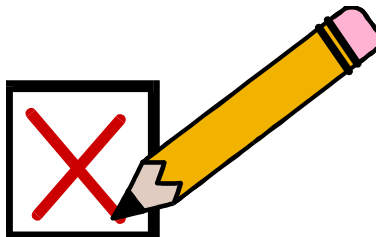
The additional performance factors are:

Factor 7 is Service to the Clients / Public.

Factor 8 is Use of Equipment and Materials.

Factor 9 is Project Planning and Implementation.

REMINDER---Don't forget to mark an "X" in the box if you use any additional factors!



Required Supervisory Performance Factors

These two factors are required for all supervisory jobs.

Factor 10 is Work Group Management and Leadership.

This factor is directing the activity of subordinates.

A supervisor who consistently leads a work group that contributes to the achievement of organizational goals should probably receive a higher rating of 3, 4 or 5. A supervisor who shows favoritism, gives rewards or encouragement inconsistently or delays or neglects corrective action, especially, in cases of discipline problems, should probably receive a lower rating of 1 or 2.

Examples of expectations that you could write in this space for Work Group Management and Leadership are

- Conduct meetings once a month with your subordinates and me, so that I can better observe how things are going.
- Treat all employees equitably.
- Develop a method for on-going evaluation of the work assignments of your subordinates, and make changes to work-loads as inequities develop.
- Give all employees equal access to training.
- Make sure employees have challenging work to do.

Factor 11 is Performance Planning and Review.

This factor is using this system correctly to counsel employees and rate their performance.

An employee who communicates performance expectations clearly, documents subordinates' job performance and provides helpful feedback throughout the performance period should probably receive a higher rating of 3, 4 or 5. An employee who sets easier expectations for people he or she likes or who does not timely do all of their performance ratings should receive a lower performance rating of 1 or 2 for Performance Planning and Review.

Examples of expectations you could write for Performance Planning and Review are

- Do not use more demanding standards for employees you don't like than for employees you do like.
- Conduct thorough and timely performance planning sessions with subordinates.
- When rating your employees, address the positive aspects of their performance as well as the negative.
- Communicate throughout the year with your employee about performance, documenting the performance as well as documenting the fact that communication took place.
- Discuss your subordinates' performance, throughout the year, with me (your supervisor) so there will be no surprises or disagreements about their ratings at rating time.
- Always complete your planning and rating forms so that you can discuss them with your supervisor, and make changes if appropriate, before you sit down with your employee to conduct the official session.
- In accordance with agency policy, complete your rating sessions two weeks prior to the anniversary date and submit the forms immediately to the Human Resources office for their review.
- Avoid rating errors and biases.

Position Specific Performance Factors

The last factors on the form are position specific performance factors. Blank spaces are provided on the planning and review form for you to write in any important part of an employee's job that has not been covered by Factors 1 through 11. Position specific factors are unique job responsibilities, specific certification or accreditation requirements or other duties that you and/or the employee identify. Be very careful when you add position specific factors. They must be observable job relevant behaviors. Do not write in personality traits or irrelevant or unobservable behaviors such as attitude or motivation.

In addition, remember that position specific factors cannot be something you have already evaluated with another factor. For example, instead of attitude, use Cooperativeness or Service to Clients and/or the Public. Instead of motivation, consider using Work Product. Instead of alertness, use Dependability or Use of Equipment and Materials. An example of a good position specific factor is employee selection. This factor means how well the employee selects new employees. An expectation could be--select new employees according to the rules and policies.

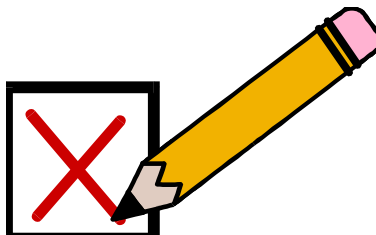
Notes:

Be aware that when you add more factors upon which the employee will be evaluated, you reduce the relative value of any one factor to the overall score.

In this rating system, all performance factors have equal value; no one factor is weighed more heavily than another.

At this point in the performance planning and review process, you and your employee should both understand which factors apply to his or her job and what to expect of him or her for each factor.

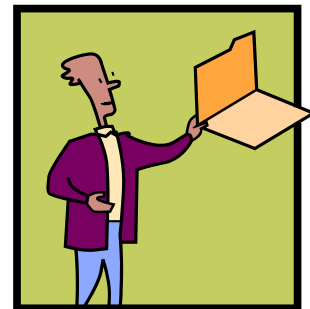
REMINDER---Don't forget to mark an "X" in the box if you use any position specific factors!



STEP 2: CONTINUAL OBSERVATION, DOCUMENTATION AND FEEDBACK

Documentation of employee performance is a very important aspect of a supervisor's job. In fact, Civil Service has developed an entire course devoted solely to the subject of documentation. The name of the course is "**DOCUMENTING FOR PERFORMANCE AND DISCIPLINE.**" The subject of documentation is covered extensively in that class. Therefore, this step in the PPR process will not be discussed, in detail, in this class. However, a few important brief points can be found below.

- Consistently observe and document your employees' performance
- Keep a supervisory folder for all of your employees
- Document year-round
- Document for all of your employees
- Document both good and bad things
- Encourage your employees to keep their own folders regarding their accomplishments
- Communicate with your employees about their performance



You decide how you want to document performance. Just do it and be sure to provide your employee with continuous feedback. Communication is vitally important! Document that communication took place. In many cases, it will be important to document not only the employee's performance, but also the fact that you discussed the performance with the employee. In other words, make a note that communication did occur. There is no requirement that you provide a copy of your note to your employee, though many supervisors do.

You are not required to attach your documentation to the PPR form itself. However, you must be able to produce that documentation upon request and also prove that you communicated with your employee regarding the issues noted in your documentation. (*Re: Besson appeal*)

Supervisory folders and PPR forms are both considered as being confidential records.

STEP 3: PERFORMANCE REVIEW AND RATING

Step 3 of the performance planning and review process is performance review and rating. As you review your employee's performance for the entire rating period, consider what rating he has earned for each factor. If you will look on the front of your rating form, you will see the definitions of the five different ratings we will use for performance.

DEFINITIONS OF RATINGS TO BE USED IN EVALUATING INDIVIDUAL PERFORMANCE FACTORS

5 – OUTSTANDING	Exceeds requirements consistently and/or by a wide margin; nearly ideal.
4 – EXCEEDS REQUIREMENTS	Consistently meets and sometimes exceeds requirements; very well done.
3 – MEETS REQUIREMENTS	Normally meets requirements; generally well done, has performed as expected.
2 – NEEDS IMPROVEMENT	Fails to meet requirements; has not performed as expected, improvement is needed.
1 - POOR	Fails to meet requirements consistently and/or by a wide margin.

COMMON MISTAKES AND ERRORS MADE ON PPR RATINGS

It is important to look at the definitions of the factors you're rating the employee on. They can be a guide to you as you think about what rating to render for each factor. Very rarely should an employee receive the same rating for every factor. Reviewers and supervisors of supervisors should watch out for this. A supervisor who gives an employee all 3's should probably not receive a higher rating himself or herself on performance planning and review. Most employees do not perform in the same way in every area of work. Most people are better in some factors than in others, whether it is communication or cooperativeness or dependability or something else. Rating people high or low on all factors, because of good or poor performance on one or a few factors is a very common rating error. It is called the halo effect. Two other very serious rating errors are referred to as preconceived roles and similar-to-me.

When you rate people because of what you believe about people of their race or sex or nationality or age, you are making a grave mistake. Each person must be rated as an individual on his or her actual behavior that you observe. You cannot rate people higher if they are like you and lower if they are different from you. These are serious rating errors and they can get you in a lot of trouble, so beware.

Finally, some people tend to be harder raters than others. Some raters demand too much of their employees and some demand too little. Guard against this. You should probably not always give extremely high ratings or extremely low ratings. If you are concerned with how to rate an employee, talk with other supervisors or your Human Resources Director or take one of the C.P.T.P. courses on performance appraisal or Civil Service rules and regulations. Supervisors of supervisors, you must make sure that their subordinates are not guilty of these rating errors and biases. To avoid these errors and biases when deciding on ratings for each employee on each factor, do think about each performance factor independently from any other factor, actual work performed by the employee. Do not consider how much you like or dislike the employee, the employee's age, sex, race, national origin, religion or disability, employee's past rating or other issues not related to current job performance.

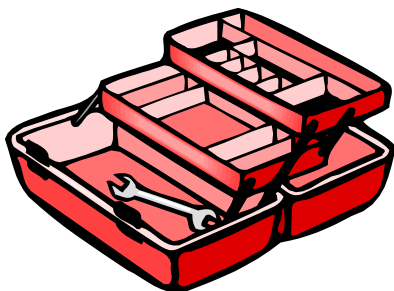
Performance Planning and Review for Supervisors _____

We're often asked how an agency can ensure consistency among ratings. In other words, how do we know that an "Exceeds Requirements" earned by one employee in one work unit is the same as an "Exceeds Requirements" given by another supervisor in a separate work unit?

Rating consistency has to begin at the first-line supervisor level. A first-line supervisor has to ensure that he is not committing any of the rating errors mentioned above, and that he has employed all the tools available to him when rating his employees. Then, the first line supervisor's supervisor must evaluate how well each supervisor under him is rating. If he sees problems, such as inconsistencies in rating, failure to rate fairly and equitably, then that supervisor must address it at this level. This careful evaluation and system of checks and balances at each level within the hierarchy of an agency can contribute to a sound and equitable performance evaluation program.

Now, how do you decide what rating to give your employee for each factor that applies to his or her job?

Toolkit for Rating



- Performance Expectations and other resources such as position description, policies and procedures, etc.
- Performance Documentation
- Definitions of Performance Factors
- Definitions of Performance Ratings
- Benchmark Comments from PPR form, and
- Performance Comments that you write on your PPR rating document

All of these should be used when you sit down to rate your employee. Review your documentation about performance from the entire rating period for each required factor and each factor you marked with an "X" in the planning session. It may also help to have the employee's position description with you. Think carefully about behavior you have witnessed throughout the rating period for this employee and assign a rating.

In the “Performance Comments” spaces provided on the planning and review form, provide well-written comments that describe the performance over the last year. You may wish to provide examples or descriptions of the employee's behavior to illustrate the rating you assigned, and possibly make reference to the fact that the performance has been discussed at times in the last year.

You may ask, “Why bother writing comments on the form? I have my performance log and performance folder, in case anybody questions my ratings.” Written comments will help make it easier to communicate about the employee's performance during the performance rating and review session. You will feel more prepared and employees appreciate specific feedback. In addition, supporting comments may help you defend your ratings if they are challenged by the employee. For that matter, if your supervisor looks over the ratings before you conduct the session, and has questions about them, your comments can provide him with answers. Make sure your comments are accurate and specific.

How Does a Rating Supervisor Rate an Employee in the Absence of a Planning Document?

This often happens when a new supervisor moves into a work unit and discovers that somehow or other, a planning document was never developed for an employee. Any number of things could have happened, but the bottom line is, a Civil Service Rule was violated when no planning session took place. Do *not* violate a second Civil Service Rule by not rating the employee!

Now, you may ask, “What do I rate an employee on if no planning document exists?” There are several ways in which this employee has been told what his job expectations are. He has a position description, a policies and procedures manual, possibly a training manual. He has probably received a number of written and verbal communications throughout the year addressing what is expected of him. Even the Civil Service job specification generally describes the job.

Using these resources, along with your documentation in your employee performance folder, work samples, timesheets and whatever other resources you have, you should be able to prepare a rating form.

One thing you should *not* use is the planning document from previous rating years. Remember—that planning document was prepared for an earlier rating period and hopefully the employee was given a rating based on that planning form. It should not be used for subsequent rating periods.

If the employee requests a review of his PPR rating, you will possibly not be on as firm ground in defending a rating as you would be had a planning document existed. However, the employee has already been done one disservice by not having a planning session. Do not make another mistake by failing to discuss his past year's performance with him.

Exercise # 3: PPR Rating Exercise

DEFINITIONS OF RATINGS TO BE USED IN EVALUATING INDIVIDUAL PERFORMANCE FACTORS

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3 – MEETS REQUIREMENTS	Normally meets requirements; generally well done, has performed as expected.
2 – NEEDS IMPROVEMENT	Fails to meet requirements; has not performed as expected, improvement is needed.
1 - POOR	Fails to meet requirements consistently and/or by a wide margin.

**PLEASE RATE THE INDIVIDUALS DESCRIBED BELOW BASED ON THE INFORMATION PROVIDED.
PLACE YOUR RATINGS TO THE LEFT OF THE NUMBER NEXT TO THE ASSOCIATED SITUATION.**

1. Factor: Work Product

Expectation:

Complete tasks as assigned. Work at a rate that is similar to teammates so teamwork goes smoothly.

Performance:

Victor is part of a team of typist clerks who enter data under your supervision. He has a hearing impairment and wears hearing aids. He often helps members of the team work out conflicts by listening carefully to each side and suggesting solutions that are fair to everyone. You notice, however, that Victor works much more slowly than the rest of the team. His teammates frequently have to do extra work to cover for him because he cannot finish his assignments before the end of his shift.

2. Factor: Dependability

Expectation:

Attend scheduled meetings and arrive for them on time. Complete projects by their deadlines except when factors beyond your control prevent you from doing so. Notify me when you anticipate that you will not meet a deadline.

Performance:

In the past year, Rachel has attended all scheduled meetings and arrived on time or a few minutes early. She finished most of her projects a day or two early. When obstacles came up, she found creative ways to overcome them. On one project, it became impossible to meet her deadlines due to circumstances beyond her control. She explained the situation to you in a memo and suggested another deadline that she was able to meet.

Exercise # 3: PPR Rating Exercise (Continued)

DEFINITIONS OF RATINGS TO BE USED IN EVALUATING INDIVIDUAL PERFORMANCE FACTORS

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PLACE YOUR RATINGS TO THE LEFT OF THE NUMBER NEXT TO THE ASSOCIATED SITUATION.**

3. Factor: Cooperativeness

Expectation:

Cooperate with your coworkers by sharing your knowledge of computer hardware when they are having difficulties or have questions.

Performance:

Bill had a background in computer repair before he came to work in your unit as a caseworker. When a computer breaks down, Bill is eager to help fix the problem. However, you have noticed that he will explain how he fixed the problem more thoroughly to his male coworkers than to his female coworkers. When you bring this to his attention, he makes what he calls "jokes" about his female co-workers lack of mechanical ability.

4. Factor: Adaptability

Expectation:

Look for ways to improve your own job and the jobs of your subordinates. Accept new methods or responsibilities as they come your way.

Performance:

Sally is a supervisor in your department. This year, she broke down the jobs she and each of her subordinates performed into identifiable tasks. She then found several ways to restructure the jobs to make the entire group more efficient, and accepted subordinates' suggestions for improving efficiency. She clearly explained to employees how they would each carry out their job from now on. As a result, her group has improved efficiency by nearly 40%, and her subordinates report being much more satisfied with their jobs.

Exercise # 3: PPR Rating Exercise (Continued)

DEFINITIONS OF RATINGS TO BE USED IN EVALUATING INDIVIDUAL PERFORMANCE FACTORS

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PLACE YOUR RATINGS TO THE LEFT OF THE NUMBER NEXT TO THE ASSOCIATED SITUATION.**

5. Factor: Communication

Expectation:

Clearly explain to clients how to properly and completely fill out their disability claim forms. Make sure clients understand the steps involved in the claim process before they leave your workstation.

Performance:

Darlene reviews the form with the client, explains what each item means, and puts an "X" next to the items that the client needs to fill in. She then tells them what to do when they finish the form. She speaks loudly enough to be heard and slowly enough to be understood. When clients return the form to her she reviews it for completeness. Before the client leaves her workstation, Darlene makes sure they understand where they go next.

6. Factor: Daily Decision Making/Problem-Solving

Expectation:

Calmly search for solutions when frustrated with the computer, rather than pounding the keyboard and making loud noises. Use "Help Windows" and consult the software manual. When unable to solve the problem yourself, ask coworkers for their suggestions. Try all possible solutions you can think of before you give up.

Performance:

Tom took improving his computer skills as a personal goal this year. He attended all the computer classes available to him that were relevant to his job. He learned to solve computer problems on his own and where to look for helpful information. He stopped getting angry when he felt frustrated. At the beginning of the year, he often asked coworkers for advice, but now he is seen as a helpful resource. One month after a new software program was installed on all the computers used by his group, he passed out a list of answers to frequently asked questions to help others learn how to get the software to do what they wanted.

Exercise # 3: PPR Rating Exercise (Continued)

DEFINITIONS OF RATINGS TO BE USED IN EVALUATING INDIVIDUAL PERFORMANCE FACTORS

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**PLEASE RATE THE INDIVIDUALS DESCRIBED BELOW BASED ON THE INFORMATION PROVIDED.
PLACE YOUR RATINGS TO THE LEFT OF THE NUMBER NEXT TO THE ASSOCIATED SITUATION.**

7. Factor: Service to Clients/Public

Expectation:

Politely greet customers who come to your window. When they ask you to do something for them that is outside the scope of your job, send them to the appropriate person rather than trying to help them yourself.

Performance:

Jackie has improved greatly in the way she speaks to customers and in the help she gives them. She has made a strong effort to learn what was inside and outside the scope of her job, and to whom she should direct customers when she cannot meet their needs. Rarely has she stepped outside the bounds of her job in the past year.

8. Factor: Use of Equipment and Materials

Expectation:

Learn to use Excel, to send and receive e-mail, and to use new software programs as they are installed on your computer. Make an effort to avoid wasting paper from the printer or from the copy machine.

Performance:

Chris learned Excel and the e-mail system. However, he did not take the classes that were offered to learn new software. Last week Chris made 500 copies of a document before he found a grammatical error and threw them all away.

Exercise # 3: PPR Rating Exercise (Continued)

DEFINITIONS OF RATINGS TO BE USED IN EVALUATING INDIVIDUAL PERFORMANCE FACTORS

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1 - POOR	Fails to meet requirements consistently and/or by a wide margin.

**PLEASE RATE THE INDIVIDUALS DESCRIBED BELOW BASED ON THE INFORMATION PROVIDED.
PLACE YOUR RATINGS TO THE LEFT OF THE NUMBER NEXT TO THE ASSOCIATED SITUATION.**

9. Factor: Work Product

Expectation:

At the end of each shift, submit all paperwork from the day's traffic stops, accident scenes, and other calls. Turn in most reports without spelling or grammar errors.

Performance:

Shawn is a State Trooper. He turns in his completed reports at the end of each shift. His reports contain spelling or grammar errors only occasionally.

10. Factor: Dependability

Expectation:

Arrive to the prison in time to begin your shift when scheduled. Patrol your assigned cellblock at least once per hour. Remain in your assigned area unless an emergency occurs.

Performance:

Sheila arrives at work 5 to 10 minutes late about 50% of the time. She patrols her cellblock as expected. However, she has left her guard station without telling her coworkers where she was going or when she would return approximately 5 times in the past year.

11. Factor: Cooperativeness

Expectation:

Respond promptly to the requests of hospital personnel. Work with other members of the cleaning staff to make sure all tasks are completed at the end of your shift.

Performance:

Robert is a member of the cleaning staff you supervise at Charity Hospital. He responds well to oral instructions from hospital personnel. He helps his co-workers on a regular basis.

Exercise # 3: PPR Rating Exercise (Continued)

DEFINITIONS OF RATINGS TO BE USED IN EVALUATING INDIVIDUAL PERFORMANCE FACTORS

5 – OUTSTANDING	Exceeds requirements consistently and/or by a wide margin; nearly ideal.
4 – EXCEEDS REQUIREMENTS	Consistently meets and sometimes exceeds requirements; very well done.
3 – MEETS REQUIREMENTS	Normally meets requirements; generally well done, has performed as expected.
2 – NEEDS IMPROVEMENT	Fails to meet requirements; has not performed as expected, improvement is needed.
1 - POOR	Fails to meet requirements consistently and/or by a wide margin.

**PLEASE RATE THE INDIVIDUALS DESCRIBED BELOW BASED ON THE INFORMATION PROVIDED.
PLACE YOUR RATINGS TO THE LEFT OF THE NUMBER NEXT TO THE ASSOCIATED SITUATION.**

12. Factor: Adaptability

Expectation:

Learn and apply 6 new skills in order to maintain the plumbing and appliances for the housing district.

Performance:

Tina has just completed her first year working on the housing authority maintenance team. She came in with some skills, but quickly learned new ones on the job to perform her job well. She always took advantage of an opportunity to learn how to fix something. You estimate that she learned and applied more than 5 techniques for maintaining the plumbing and more than 4 for repairing appliances. A few times, you observed her teaching these to others.

13. Factor: Communication

Expectation:

When vehicles stop at your tollbooth, speak to the drivers and clearly state the amount of money owed, state the amount of change due back to the driver (if necessary), and tell the driver thank you.

Performance:

Charlie prefers not to speak to the drivers at all. He simply takes the money and gives any change due.

Exercise # 3: PPR Rating Exercise (Continued)

DEFINITIONS OF RATINGS TO BE USED IN EVALUATING INDIVIDUAL PERFORMANCE FACTORS

5 – OUTSTANDING	Exceeds requirements consistently and/or by a wide margin; nearly ideal.
4 – EXCEEDS REQUIREMENTS	Consistently meets and sometimes exceeds requirements; very well done.
3 – MEETS REQUIREMENTS	Normally meets requirements; generally well done, has performed as expected.
2 – NEEDS IMPROVEMENT	Fails to meet requirements; has not performed as expected, improvement is needed.
1 - POOR	Fails to meet requirements consistently and/or by a wide margin.

**PLEASE RATE THE INDIVIDUALS DESCRIBED BELOW BASED ON THE INFORMATION PROVIDED.
PLACE YOUR RATINGS TO THE LEFT OF THE NUMBER NEXT TO THE ASSOCIATED SITUATION.**

14. Factor: Daily Decision-Making/Problem-Solving

Expectation:

When making a traffic stop, use your best judgment to decide whether to give the driver a citation (ticket) or a warning. Consider the severity of the offense, the driver's record, the driver's remarks, and other information in the situation.

Performance:

Linda uses good judgment in her job as a state trooper. Citizens rarely file complaints against her. When drivers contest tickets in court, the judge nearly always finds that Linda acted appropriately for the situation.

15. Factor: Service to Clients/Public

Expectation:

When motorists have a breakdown or wreck on the bridge, quickly call for assistance. Carefully approach the vehicle and help the driver move it out of the flow of traffic, if possible.

Performance:

Sam has called the appropriate persons for assistance when it was required. However, he would only approach the vehicle when there was an exciting wreck.

16. Factor: Use of Equipment and Materials

Expectation:

Maintain heavy equipment according to manufacturer's instructions. Avoid letting machinery run out of fuel. Avoid causing damage to equipment.

Performance:

Martin operates heavy machinery. He set up a chart indicating what type of maintenance was required for each piece of equipment and when it was to be performed. He made sure that the maintenance was done and that equipment did not run out of gas. During the year, no accidents or equipment damage occurred.

Calculating the Overall PPR Rating



Steps in Calculating the Overall Rating

- 1) Take the total number of boxes marked with an "X" on the entire PPR form. This number cannot be smaller than six, because there are six factors that are required for everyone. The total number of boxes marked with an "X" is the total number of factors.
- 2) Write the total factors in the box provided on the Calculation Page.
- 3) On the bottom are boxes that say, "Write total here." For each page, add together the ratings on that page and write the total of the ratings in the box at the bottom of the page
- 4) Add the rating totals from the bottom of each page and write that total rating in the next box on the Calculation Page.
- 5) Divide the total rating by the total factors.
- 6) Round that number to two decimal places and you have the overall rating.
- 7) Mark an "X" in the box next to the overall rating.
- 8) After you have completed the overall rating, mark the Final Score on the bottom of Page 1. Write any comments about the employee's overall performance in the space provided on Page 1. This might be something like, "You are really improving on client counseling" or "You have continued to excel and I can always depend on you to contribute to the success of the work unit."

Exercise # 4: PPR Calculation Exercise (Sample Rate)

Scenario: You are the supervisor. Your employee's name is Matthew Mattix. On Matthew's latest PPR rating, you rated him the following scores on his PPR form. Based on the information provided please complete the tables below by totaling the columns and making the proper calculations. Once you complete your calculations, please place an "X" in the box indicating Matthew's overall PPR rating.

Work Product	X	Cooperativeness	X	Communication	X				
	3		3		2				
Dependability	X	Adaptability	X	Daily Decision Making/Problem Solving	X	Service to Clients/Public	X	TOTAL PPR FACTORS RATED	
	4		2		4		2		
PAGE 1 TOTAL SCORE		PAGE 2 TOTAL SCORE		PAGE 3 TOTAL SCORE		PAGE 4 TOTAL SCORE		OVERALL TOTAL PPR SCORE	

TO CALCULATE THE FINAL, OVERALL RATING:

1. Count the total number of boxes marked with an "X." These are the Total Factors.

TOTAL FACTORS =
(A)

2. Add the rating totals from the bottom of each page. This is the Total Rating.

TOTAL RATING = (B)

3. Divide Total Rating (B) by Total Factors (A).
(B) ÷ (A)

TOTAL RATINGS (B)

TOTAL FACTORS (A)
=

4. Final Score = Round line # 3 to two decimal places.

FINAL SCORE

5. Place an "X" next to the overall rating that corresponds to the employee's Final Score.

- ☐ 4.50 – 5.00 → Outstanding
☐ 3.50 – 4.49 → Exceeds Requirements
☐ 2.50 – 3.49 → Meets Requirements
☐ 1.50 – 2.49 → Needs Improvement
☐ 1.00 – 1.49 → Poor

Can My Supervisor Require Me To Show Him/Her My Employees' Ratings?

If your supervisor requires you to discuss the rating with him prior to conducting the rating session with your employee, you should do so.

Then, if your supervisor disagrees with any ratings, you two can clear that up before you discuss the rating with the employee.

Remember that your supervisor will be evaluating you on how well you render PPRs and manage your workgroup, among other things, so certainly he has a right to ask to see these documents. Of course, if the two of you have been communicating throughout the year about your subordinates' performance, there should be no surprises or differences in opinion anyway!

Self-Ratings

You may consider asking your employee to do a self-rating, so that he or she can better prepare for the discussion. You may want to adjust the rating based on that discussion.

Signatures

After you and your employee have discussed the rating, you sign and date the form on the appropriate line on page 1 of the form. Then, have your employee indicate that you have discussed the rating by signing and dating in the appropriate space. Ask the employee to read the Employee Statement first. The employee's signature does not necessarily mean that he or she agrees with the ratings. If the employee refuses to sign, make a note of this on the form.

If no employee signature appears on this page, write in the date that the employee was given or mailed the rating. This should only occur if the employee refused to sign or if the employee were out on extended leave, thereby compelling you to mail the form.

Copies

Give a copy of the form to the employee. Keep a copy for your own files. Remember, if you've gone into the session with two copies of the PPR rating form, it's easy to make any changes to both copies, initial the changes, have your employee sign and date copies, and then sign and date it yourself. This way, you each leave the rating session with a copy. Send the original to the Human Resources office.

Conducting The Performance Review Session

- Schedule the session with advanced notice.
- Make sure you have a private place to meet as well as enough time for the meeting.
- Open the meeting in a positive way, be friendly and sincere.
- Explain the purpose of the meeting clearly.
- Focus on the job rather than the individual.
- Stress areas of strength and areas that need improvement.
- Be honest about problems; nothing is accomplished by avoiding the issues.
- Discuss your employee's responsibilities and clear up any misunderstanding about those responsibilities.
- Talk about behaviors and performance, not attitudes and personality.
- Let the employee talk; actively listen to the employee.
- Ask the employee before telling the answer.
- Do not finish the employee's statement or answer the question for the employee.
- Allow periods of silence while the employee is thinking or trying to put thoughts together.
- Listen carefully if the employee has complaints or requests.
- Ask the employee if there are resources he or she needs or obstacles keeping them from performing as well as possible, especially, if they are performing below the level you had expected.
- Stay in control of the meeting.
- Guide the discussion back to the matter at hand if one or both of you stray off the topic.
- Do not become emotional even if the employee does become emotional.
- Be aware of your own weaknesses and remember that you are only human.
- Try not to be positively or negatively influenced by your personal feelings about the employee.
- Admit it when you have made a mistake.
- Have realistic expectations and do not try to accomplish too much in one session.
- Use follow up discussions when necessary.
- Realize that some employees will leave the session unhappy or defensive no matter how hard you try to make the session go well.
- Always try to end the session in a constructive manner.
- Summarize and paraphrase to make sure you both understand what has been discussed.
- Encourage the employee to make comments; listen closely to what he or she has to say.
- Make a commitment to yourself that you will follow up on the plan of action that the two of you have discussed.

Appendices:

- A) PPR ADA and FMLA Issues
- B) PPR Job Aids
- C) PPR Form (SF 15)

APPENDIX A

PPR (ADA AND FMLA ISSUES)

When rating the performance of employees who are covered by the Americans With Disabilities Act (ADA) or who used Family and Medical Leave Act (FMLA) entitlement during the rating period, how must a rating supervisor take these issues into consideration in order to remain in compliance with these federal laws yet still reach an evaluation decision? The following are some guidelines:

1. When rating the performance of an employee covered by ADA, the rating supervisor, if so authorized by his appointing authority, has an option:
 - a. If after considering the job involved and the business circumstances during the rating period, the appointing authority determines that it is appropriate to accommodate the employee in the performance review process, then the rating supervisor should assign the individual a rating taking into account the effects of the disability on any rating factors. For example, if an employee's disability caused him or her to be absent frequently and these absences were the only reason that the employee's work production fell enough to cause his or her performance to merit a "Needs Improvement" rather than a "Meets Requirements" rating on "Work Product", then the rating supervisor, to accommodate the disabled employee, would rate the employee "Meets Requirements" and should note "reasonable accommodation" among the other specific notes about performance on the rating form; or
 - b. The appointing authority could decide that such an accommodation in performance review could not be made due to undue hardship and would allow the rating supervisor to evaluate the employee's performance on all factors without consideration given to the effects of the disability on the employee's performance. If this option is chosen, the appointing authority must be prepared to defend the reason why the accommodation could not be made in this situation.
2. In considering an employee's yearly performance evaluation, how is time spent on FMLA-qualifying leave handled?

An employee should be rated based on his performance record for the entire year. The FMLA period is 12 weeks (or the hourly equivalent thereof) *out of a 52 week year*. Therefore, an employee should NOT be rated SOLELY based on an FMLA absence(s). He should be rated on his performance for the ENTIRE YEAR. And, the FMLA absence(s) should be treated as any other absence for purposes of rating performance. A supervisor who rates an employee based only on the time the employee was on FMLA is not carrying out the basic principals of the PPR process, which is to rate the employee on the entire performance year.

Rating supervisors should contact their Human Resources Office with any questions concerning ADA and FMLA issues.

APPENDIX B

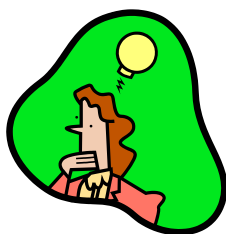
Rating Supervisor opportunities to get maximum benefit From the PPR process



- Attach a copy of position description to planning form.
- Explain to the employee that he'll be held responsible for all aspects of his job when you rate—not just the planning expectations. (i.e. Position description, Policies and Procedures manual, training manual, all verbal and written communications regarding job duties.) A lot of employees don't understand this!
- Have the employee keep his own "Kudo" file.
- Conduct planning updates and informal rating sessions throughout the rating year.
- Communicate, Communicate, Communicate throughout the year.
- Document that communication took place.
- Remember that the employee is being rated for the entire rating period. Don't lose sight of this and only consider the performance of the past few months prior to rating time. Big mistake!
- Do not wait until the last minute to rate an employee. Ouch!!! You can get burned.
- Take two copies of the rating form into the rating session. Write and initial any changes. Employee and Rating Supervisor sign both copies; each leaves with a copy. How easy is that?
- Get your forms completed, sessions conducted, and forms into your H.R. office well ahead of the anniversary date. That way, if there are problems with your forms, H.R. may have time to return them to you for corrections before the deadline.
- Conduct "unofficial" closeout ratings if an employee leaves your supervision and it isn't within the window of opportunity for the official rating; conduct an official rating if it is within the window of opportunity for rating.
- If your supervisor requires you to submit your subordinates' planning and rating documents to him for his review, you should do so *before* you conduct the session, so that any differences of opinion can be resolved before you conduct the session. Once the session is rendered, signatures affixed, and copies given, the rating is official.
- And yes—your supervisor CAN ask to see these documents—how else will he know how to rate YOUR performance at rating time?

APPENDIX B (Continued)

Employee Opportunities to get maximum benefit From the PPR Process



- Keep your own Kudo file and give it to your supervisor before rating time.
- If your Rating Supervisor has asked you to remind him that your planning or rating deadline is due and has asked you to help him remember, don't be shy—he really wants you to!
- Be aware if you have not received a rating by the time your anniversary date has occurred, your official rating will be Un-Rated as of the day after the anniversary date. You do not have to wait to be notified that you earned an Un-Rated; you can go on and request a review if you wish to. There is a form on the C.S. website that you can use for this purpose. Either way, your Request for Review must be received by the day that falls 15 days after your anniversary date.
- You can only request a review of a PPR rating if you are in disagreement with the overall rating category.
- You are eligible for a merit increase on your anniversary date or first merit eligibility date if you have a Meets Requirements, Exceeds Requirements, Outstanding or even Un-Rated. There is no rule that guarantees the merit increase.
- If you are requesting a review, we recommend you explain specifically which factors you disagree with, what rating you are requesting, and why you disagree. Submit any documentation you wish to have considered.
- If you wish to submit supporting documentation along with your Request for Review, but feel you cannot compile it by the deadline date, the agency is under no obligation to allow you extra time, nor should you assume you will be allowed extra time to produce the documentation. We recommend you make your request for an extension in writing, and the agency can provide you with a reply granting or denying the request.
- Have an understanding of the Performance Factor Ratings; understand that *not* receiving a “5” on every factor does not mean you’re not doing a good job. A Meets Requirements rating means just that—you have met the expectations set for you by your supervisor--your performance has not been “deficient.”
- Request informal feedback throughout the year from your supervisor, especially if there are areas in which you personally are trying to improve.

APPENDIX B (Continued)

COMPUTER ONLINE JOB AIDS



Sample Written Performance Expectations

www.dotd.state.la.us> Employment>Human Resources>Performance Planning and Review>Sample Performance Expectations

<http://www.selu.edu/Administration/Depts/HumanResources/hroppexp.htm>

PPR Frequently Asked Questions and Answers

www.dscs.state.la.us> PPR Information>Frequently Asked Questions

www.dscs.state.la.us> Calendar of PPR deadline dates

Downloadable PPR Form (SF 15) (Revised 9/02)

www.dscs.state.la.us> PPR Information>Downloadable Forms

DSCS Commission Opinion Regarding PPR Documentation

www.dscs.state.la.us> HR Reference>Appeals Opinions>0014296 rev.htm